PART II

GENERAL POLICIES AND PROCEDURES APPLICABLE TO ALL

SAMHSA APPLICATIONS FOR DISCRETIONARY

GRANTS AND COOPERATIVE AGREEMENTS

[Note to Applicants: For a complete understanding of all applicable requirements for an application, this document must be used in conjunction with "Part I-Programmatic Guidance" of the Guidance for Applicants(GFA). Part I is individually tailored for each GFA. Part II is published separately since it is common to all SAMHSA GFAs and many applicants respond to more than one. Accordingly, separate publication conserves resources and avoids waste and allows applicants to be assured that certain requirements have remained the same. Any deviations from the standard provisions in Part II will be identified in Part I. Applicants must confirm the date of the Part II edition cited in Part I to assure they have the most recent version. The latest edition is always available by mail or as a downloadable file from SAMHSA's World Wide Web site.]

February 1999

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SPECIAL CONSIDERATIONS/REQUIREMENTS

[Note to Applicants: "Part I-Programmatic Guidance" for the particular Guidance for Applicants (GFA) under which you are applying specifies which of the policies and special considerations/requirements in this section are applicable to that specific GFA.]

Population Inclusion Requirement

SAMHSA expects applicants to include all populations with cultural-, age-, ability-, socioeconomic status- and gender-specific needs in the target population where feasible and appropriate. The project's design, intervention strategies and staff qualifications must ensure appropriateness, and competence to address the requisites of these groups. In general, all components of the project should reflect the needs, culture, and demographics of the targeted population.

When evaluating projects using a common intervention with populations differing by race/ethnicity, gender, or developmental age group, it is important to ascertain whether the intervention is differentially effective for the different populations. Such statistical analyses should be done whenever the size of the subpopulation(s) can support such analysis. The results should be reported to include information about as many demographics as feasible.

Government Performance Monitoring

The Government Performance and Results Act (GPRA) was enacted in 1993 to hold Federal agencies accountable for achieving program results. Its provisions were phased in over several years and became fully effective in FY 1999. The law places increased emphasis on evaluation and on the collection and reporting of performance data, particularly outcome data. The performance reporting requirements of this law may result in the need to request additional data, including client outcome data where appropriate, from funded programs.

Healthy People 2000

The Public Health Service (PHS) is committed to achieving the health promotion and disease prevention objectives of Healthy People 2000, a PHS-led national activity for setting priority areas. Part I-Programmatic Guidance lists the priority area(s) applicable to the particular program under which you are applying. Potential applicants may obtain a copy of Healthy People 2000 (Full Report: Stock No. 017-001-00474-0; or Summary Report: Stock No. 017-001-00473-1) through the Superintendent of Documents, Government Printing Office, Washington, D.C. 20402-9325 (Telephone: 202-512-1800). Healthy People 2010 is scheduled to be released in January 2000. For more information on Healthy People visit the website at www.health.gov/healthypeople.

Consumer Bill of Rights and Responsibilities

Where applicable, service projects are encouraged to follow the Consumer Bill of Rights and Responsibilities as developed by the President's Advisory Commission on Consumer Protection and Quality in the

Health Care Industry.

Potential applicants may obtain a free copy of the Commission's Final Report, *Quality First: Better Health Care for All Americans* (ISBN 0-16-049533-4) from: Consumer Bill of Rights; Box 2429; Columbia, MD 21045-1429 or by calling (800) 358-9295 or via the Internet at (http://www.hcqualitycommission.gov/final).

Promoting Nonuse of Tobacco

SAMHSA and the PHS strongly encourage all grant and contract recipients to provide a smoke-free workplace and to promote the nonuse of all tobacco products. In addition, Public Law 103-227, the Pro-Children Act of 1994, prohibits smoking in certain facilities (or in some cases, any portion of a facility) in which regular or routine education, library, day care, health care or early childhood development services are provided to children. This is consistent with the PHS mission to protect and advance the physical and mental health of the American people.

Supplantation of Existing Funds

It is the intent of this program to support new or enhanced projects; therefore, the Center, in its award decision making process, will give special consideration to applicants who certify that Federal funds will not be used to supplant or replace funds already budgeted for proposed projects. A letter certifying that Federal funds will not be used to supplant/replace funds already committed may be provided in an appendix entitled "Non-Supplantation of Funds."

Letter of Intent

Entities planning to submit an application in response to a GFA are encouraged to submit a letter of intent at least 30 days prior to the receipt date. Such notification is used by SAMHSA for purposes of review and program planning. This letter is voluntary and does not obligate the person/organization to submit an application.

The letter should be no longer than one page and should succinctly indicate:

- o the number and title of the GFA
- o the name of the potential applicant organization, city and State

Letters of intent should be directed to:

> Division of Extramural Activities, Policy, and Review
> Substance Abuse and Mental Health Services Administration
> Parklawn Building, Room 17-89
> 5600 Fishers Lane
> Rockville, Maryland 20857
> ATTEN: Letter of Intent for GFA No. __
> [Note: Applicants should fill in the pertinent GFA number.]

Coordination with Other Federal/Non-Federal Programs

Applicants seeking support under SAMHSA GFAs are encouraged to coordinate with other programs when such coordination could enhance or expand service, services research, evaluation, and/or knowledge development and dissemination of the proposed project. Applicants should identify the coordinating organizations by name and describe the process that will be used to coordinate efforts. Applicants are required to provide letters of formal commitment from Federal and/or non-Federal organizations that agree to work/collaborate with the applicant. These letters must specify the kind(s) and level(s) of support/resources the organizations are prepared to make available to the applicant. Letters should be included in an appendix entitled "Letters of Coordination/Support."

Single State Agency (SSA) Coordination

Coordination with the SSA helps ensure communication, reduce duplication, and facilitate continuity. Therefore, applicants who are not the SSA, must include in an appendix to the application entitled “Letter to SSA,” a copy of a letter sent to the SSA that (1) transmits a copy of the face page of the application (Standard Form 424) and a copy of the project abstract, and (2) notifies the State that, if it wishes to comment on the proposal, its comments should be sent not later than 60 days after the deadline date for the receipt of applications to:

Division of Extramural Activities,
Policy, and Review
Substance Abuse and Mental Health
Services Administration
Parklawn Building, Room 17-89
5600 Fishers Lane
Rockville, MD 20857
ATTEN: SSA - GFA No. ___
[Note: Applicants should fill in the
pertinent GFA number.]

Applicants may request that the SSA send them a copy of any State comments.

A listing of SSAs can be found in the grant application kit. If the proposed project falls within the jurisdiction of more than one State, all representative SSAs should be involved.

Intergovernmental Review (E.O. 12372)

Executive Order 12372, as implemented through DHHS regulations at 45 CFR Part 100, sets up a system for State and local government review of applications for Federal financial assistance. Applicants (other than federally recognized Indian tribal governments) should contact the State's Single Point of Contact (SPOC) as early as possible to alert him/her to the prospective application(s) and to receive any necessary instructions on the State's review process. For proposed projects serving more than one State, the applicant is advised to contact the SPOC of each affected State. A current listing of SPOCs is included in the application kit. The SPOC should send any State review process recommendations to the following address:

Division of Extramural Activities,
Policy, and Review
Substance Abuse and Mental Health
Services Administration
Parklawn Building, Room 17-89
5600 Fishers Lane
Rockville, MD 20857
ATTEN: SPOC - GFA No. ___
[Note: Applicants should fill in the
pertinent GFA number.]

The due date for State process recommendations is no later than 60 days after the deadline date for the receipt of applications. SAMHSA does not guarantee to accommodate or explain SPOC comments that are received after the 60-day cut-off.

Public Health System Reporting Requirements

[Note: State and local governments and Indian tribal government applicants are

not subject to the following Public Health System Reporting Requirements.]

The Public Health System Impact Statement (PHSIS) is intended to keep State and local health officials apprised of proposed health services grant applications submitted by community-based nongovernmental organizations within their jurisdictions.

Community-based nongovernmental service providers who are not transmitting their applications through the State must submit a PHSIS to the head(s) of the appropriate State and local health agencies in the area(s) to be affected not later than the pertinent receipt date for applications. This PHSIS consists of the following information:

a. A copy of the face page of the application (Standard Form 424).

b. A summary of the project (PHSIS), <u>not to exceed one page</u>, which provides:

    (1) A description of the population to be served.

    (2) A summary of the services to be provided.

    (3) A description of the coordination planned with the appropriate State or local health agencies.

<u>Confidentiality/SAMHSA Participant and Human Subject Protection</u>

Applicants and awardees are expected to develop and implement appropriate procedures to address confidentiality and other ethical issues pertinent to the protection of participants in proposed projects. Confidentiality is particularly important in SAMHSA projects because of the illegality of drug use and the potential for stigmatization of participants in drug abuse treatment, treatment of mental illness, HIV counseling, and the like. If any participants in the proposed project could be exposed to any risk of problems through any failure of the project to keep information about them confidential, the applicant must develop procedures to prevent these risks and describe them in the application.

Awardees that hold themselves out as providing, and provide substance abuse diagnosis, treatment, or referral for treatment must maintain the confidentiality of any alcohol and drug abuse treatment client or patient records in accordance with 42 CFR Part 2, "Confidentiality of Alcohol and Drug Abuse Patient Records." These regulations are applicable to any information about alcohol and other drug abuse patients obtained by a federally-assisted program, as defined in the regulations. Projects that offer treatment for mental illness must maintain confidentiality in accordance with professional standards of practice and applicable law.

Other relevant ethical issues, such as equitable selection of participants and adequacy of care, must also be addressed in the project plans and application. Where applicable, project staff must meet State and local licensure and professional accreditation standards, as well as normal professional standards of care and practice. Project directors have direct and continuing responsibility to ensure that participant protection is adequate.

When the SAMHSA Center Director determines that projects funded must meet

SAMHSA Participant Protection (SPP) requirements, applicants are required to address participant protection in the Program Narrative of the application and to respond NOT applicable to Part A, Item 5, Human Subjects Certification, on the Checklist in the PHS 5161-1 application.

When the SAMHSA Center Director determines that projects funded are subject to the requirements of 45 CFR Part 46, Protection of Human Subjects, including special requirements described in 45 CFR 46, Subparts B (for research, development, and related activities involving fetuses, pregnant women, and human in vitro fertilization); C (for biomedical and behavioral research involving prisoners as subjects); and D (for research involving children as subjects), applicants are required to address human subjects protection in the program narrative section of the application and to indicate on the Checklist, Part A, Item 5 in the PHS 5161-1 application, whether the Human Subjects Certification is included. The Protection of Human Subjects regulations are available from the Office for Protection from Research Risks (OPRR), National Institutes of Health, Bethesda, MD 20892, phone (301) 496-7041. In accordance with OPRR regulations, applicants must file an Assurance of Compliance with the OPRR and documentation of Institutional Review Board (IRB) approval.

Applicant organizations having an approved Multiple Project Assurance of Compliance on file with the OPRR must supply certification of IRB review and approval with the application or within 60 days of submission. The latest date of approval by the IRB of the proposed activities must be not earlier than 1 year prior to the receipt date called for in this announcement. **If the certification is sent after submission of the application, the applicant should contact the review administrator who will be handling the review of the application to determine where to send the certification.**

If the applicant organization does not have an approved Multiple Project Assurance of Compliance on file with the OPRR that covers the proposed project, the organization will be required to negotiate a single project assurance with the OPRR. For its single project assurance, the organization may use the IRB of an institution with a multiple project assurance or may appoint an IRB of its own. Local universities often are willing to assist community agencies by having their IRB review the application or providing assistance in starting an agency IRB. The single project assurance should be sought only <u>after</u> the organization is informed by SAMHSA staff that the proposed project is almost certain to be funded. To start this process, SAMHSA staff must supply the OPRR with the project's application and summary statement, and notify the OPRR that the applicant will be seeking a single project assurance. The OPRR will then collect the necessary documents.

APPLICATION AND REVIEW PROCEDURES

Application Procedures

Grant application kits, including form PHS 5161-1 with Standard Form 424, complete application procedures, and accompanying guidance materials for the narrative approved under OMB No. 0920-0428 (i.e., the GFA) may be obtained from:

For Center for Mental Health Services programs:

> Knowledge Exchange Network (KEN)
> P.O. Box 42490
> Washington, DC 20015
> [Voice: 800-789-2647; TTY: 301-443-9006; Fax: 301-984-8796]

For Center for Substance Abuse Prevention and Center for Substance Abuse Treatment programs:

> National Clearinghouse for Alcohol and Drug Information (NCADI)
> P.O. Box 2345
> Rockville, MD 20847-2345
> [Voice: 800-729-6686; TDD: 800-487-4889]

[Note to Applicants: Part I of the GFA will specify whether KEN and/or NCADI can be contacted for a grant application kit.)

The full text of the GFA and all the required components of the application kit, including the PHS 5161-1 and the Standard Form 424, are also available for electronic downloading through the "Funding Opportunities" option on SAMHSA's World Wide Web Home Page (address: http://www.samhsa.gov).

Applicants must submit: (1) an original copy of the application signed by the authorized official of the applicant organization, with the appropriate appendices; and (2) two additional, legible copies of the application and all appendices to the following address:

> SAMHSA Programs
> Center for Scientific Review
> National Institutes of Health
> Suite 1040
> 6701 ROCKLEDGE DRIVE MSC-7710
> BETHESDA, MD 20892-7710 *
>
> * Applicants who wish to use express mail or courier service should change the zip code to 20817.

[Note to Applicants: Do not use an individual's name or provide a telephone number on the address label. Overnight carriers and express mail have waived the requirements for these. Any changes in the referenced Center for Scientific Review address will result in the application being misdirected and could result in the application being lost and/or not reviewed.]

Only one application seeking support for the same programmatic activity with the same population may be submitted to SAMHSA, and that same application may be submitted in response to only one SAMHSA GFA.

Review Process

Applications submitted in response to this GFA will be reviewed for scientific/technical merit in accordance with established SAMHSA review procedures.

The Center for Scientific Review (CSR) at NIH serves as the central point for the receipt of applications. Upon receipt at CSR, applications will be screened by staff in the SAMHSA Division of Extramural Activities, Policy, and Review (DEAPR) for completeness and compliance with instructions for submission (see the section entitled Application Instructions that follows). Applications that are incomplete or nonresponsive to the GFA may be returned to the applicant without further consideration. Returned applications may not be resubmitted for the current receipt date.

Applications that are accepted for review will be assigned to an initial review group (IRG), composed primarily of non-Federal experts, and will undergo a multistage merit review process. The IRG will evaluate applications for scientific/technical merit on the basis of the review criteria specified in the GFA. Reviewers will be asked to assign scores only to applications which they consider to have sufficient scientific/technical merit for program staff to consider as candidates for funding.

IRG recommendations on the merit of applications will undergo a second level of review by the appropriate National Advisory Council, whose review may be based on policy considerations as well as scientific/technical merit. An application may be considered for funding only if the National Advisory Council concurs with the IRG recommendation on scored applications.

Application Instructions

All applicants must use the Public Health Service (PHS) Grant Application form 5161-1 (Rev. 6/99). Applications must be complete and contain all information needed for review. Appendices may be used only for items specified in the GFA. Appendices must not be used to extend or replace information that applicants are asked to present in any of the required sections of the program narrative portion of the application; this is particularly important because the reviewers, in their evaluation of an application, are not required to consider such information presented in appendices. Therefore, any information an applicant considers to be necessary for a full and objective evaluation of a proposed project needs to be included in the application narrative unless the GFA instructs otherwise. Further, if the review administrator (RA) determines that any appendix material is either inappropriate or extends the narrative, these portions will be removed prior to the appendices being made available to the review committee. The applicant will be notified of the RA's decision by mail.

No supplementary or corrective material will be accepted after the receipt date unless specifically requested by or agreed to in prior discussion with the RA of the initial review group (IRG) assigned to review the application. Because there is no guarantee that such late material will be considered for review, it is important that the application be complete at the time of submission.

IMPORTANT: The original and 2 copies (including appendices) must be unbound with no staples, paper clips, fasteners, or heavy or lightweight paper stock within the document itself. The application will be reproduced in order to provide sufficient copies for review. Do not include anything that cannot be photocopied using automatic processors. That is, (1) do not attach or include anything stapled, folded, pasted, or in a size other than 8 1/2 x 11 inches on white paper; and (2) do not use heavy or light-weight paper which will clog the photocopy machine and could be destroyed by the machine. Odd sized attachments of any kind will not be copied or sent to reviewers. Do not include excessive or oversized material, e.g., posters. Do not include videotapes or audiotapes. Do not use photo reduction or condense type closer than 15 characters per inch (cpi) or 6 lines per inch. Type size in the narrative of applications must not, under any circumstance, exceed an average of 15 cpi when measured with a ruler. Sections of the narrative containing only lower case letters will be considered in determining cpi. In addition, spaces between words will be counted as one character each. Type size in charts, tables, graphs, and footnotes will not be considered in determining compliance. It is suggested that a font no smaller than 12 point be used. Margins should be no smaller than one inch. Further, only one side of a page should have printing.

Because application materials could accidentally get out of order when being reproduced, every sheet of the proposal must have a page number. It is requested that pages be numbered consecutively from BEGINNING TO END (for example, page 1 for the cover page, page 2 for the abstract, page 3 for the table of contents, etc.) The appendices should be labeled and separated from the narrative and budget section and the pages must be numbered to continue in the sequence.

A primary principle of the review process is the maintenance of equity of process for all applicants. One way that this equity process is achieved is in the objective screening of published application format requirements such as page limitations, margins, and cpi. Therefore, all applications received by SAMHSA will be screened for compliance to format requirements.

Applications may not be accepted for review and may be returned for the following reasons:

1. The applicant organization is ineligible.
2. It is received after the specified receipt date.
3. It is incomplete.
4. It is illegible.
5. It exceeds the specified page limitations for the program narrative, biographical sketches and job descriptions.
6. It does not conform to the instructions for format which include that it be typed single-spaced, using standard size black type not smaller than 15 cpi (or 2.5 centimeters), one column per page, with conventional border margins of 1 inch (or 2.5 centimeters), on only one side of standard size 8-1/2 x 11 inch paper that can be photocopied.
7. It is not responsive to the program guidelines.
8. The material presented is insufficient to permit an adequate review.

Application Components

A complete application consists of the following documents in the order specified:

1. **FACE PAGE FOR THE PHS 5161-1**
The face page [officially titled "Application for Federal Assistance" Standard Form 424 (Rev. 4-88)] is

included in the PHS 5161-1 and must be completed in accordance with the instructions provided in Appendix A of this document. Important: The instructions for completing the 424 in Appendix A replace the instructions found on the reverse side of the 424.

2. **ABSTRACT** - An abstract must be included as the second section of the application. The abstract must be on a separate page and must not exceed 35 single-spaced typed lines. The abstract should clearly present the grant application in summary form, from a "who-what-when-how-where" point of view, so that reviewers can see how the multiple parts fit together to form a coherent whole. Important: If the application is funded, this description, either as is or modified, may become public information. Therefore, do not include proprietary/confidential information.

3. **TABLE OF CONTENTS** - The table of contents should identify the page number for each of the major sections of the program narrative portion of the application, as well as each appendix.

4. **BUDGET FORM** - The budget form (Standard Form 424A), for Non-Construction Programs, is also included in the PHS 5161-1. It has two sides (Sections A-F). Important: The instructions for completing the 424A in Appendix B replace those found immediately following the 424A.

5. **PROGRAM NARRATIVE SECTION** - The program narrative of the application is intended to provide a comprehensive framework and description of all aspects of the proposed project. Detailed instructions for completing the narrative section are included in Part I - Programmatic Guidance of the GFA. Important: These instructions replace the instructions for the program narrative found in the PHS 5161-1.

6. **APPENDICES** - The appendices may include only the items specified in Part I - Programmatic Guidance of the GFA. The appendices must not be used to extend or replace any of the required sections of the program narrative portion of the application. Appendices must be clearly labeled and all pages must be numbered continuing in sequence from the last page of the program narrative, and the project director's name must be typed in the upper right corner of each page.

7. **ASSURANCES NON-CONSTRUCTION PROGRAMS** - This list of Assurances for Non-Construction Programs (Standard Form 424B) must be reviewed, signed on the second page by the individual identified in Item 18a of the Face Page and submitted with the application. Failure to submit the signed 424B with the application will delay any possible awards.

8. **CERTIFICATIONS** - A list of Certifications is included in the PHS 5161-1. This list must be reviewed, signed on the last page by the individual identified in Item 18a of the Face Page

and submitted with the application. Failure to submit the signed Certifications list with the application will delay any possible award.

9. **<u>DISCLOSURE OF LOBBYING ACTIVITIES</u>** - The guidance and format for disclosing lobbying activities is located on the last several pages of the PHS 5161-1. Do not fill out these forms unless you are disclosing any lobbying activities that have taken place.

10. **<u>CHECKLIST PAGE</u>** - The Checklist, included in the PHS 5161-1, ensures that the applicant has obtained the proper signatures, assurances and certifications and is the last page of the application. Additional guidance related to the Checklist may be found in Appendix C.

TERMS/CONDITIONS/REQUIREMENTS

<u>Terms and Conditions of Support</u>

Federal regulations at Title 45 CFR Parts 74 and 92, generic requirements concerning the administration of grants, are applicable to SAMHSA awards.

Grants must be administered in accordance with the <u>PHS Grants Policy Statement</u>, DHHS Publication No. (OASH) 94-50,000 (Rev. April 1, 1994).

Grant funds may be used only for reasonable expenses clearly allocable to and necessary for carrying out the approved activities, including both direct costs, which can be specifically identified with the project, and allowable indirect costs. In order to recover the allowable indirect costs of a project, it may be necessary to negotiate and establish an indirect cost rate (unless such a rate has already been established for the applicant organization). For information and assistance regarding the timing and submission of an indirect cost rate proposal, applicants, except for-profit organizations, should contact the appropriate office of the DHHS Division of Cost Allocation referenced in the list of "Offices Negotiating Indirect Cost Rates," included in the application kit. For-profit organizations should contact the Grants Management Officer listed in the GFA. No grantee can receive a profit from any DHHS grant.

All grantees, including for-profit grantees, are required to comply with the audit requirements at Title 45 CFR 74.26 or 92.26, as appropriate.

<u>Allowable Items of Expenditure</u>

Subject to applicable cost principles, allowable items of expenditure for which grant support may be requested include:

- o Salaries, wages, and fringe benefits of professional and other supporting staff engaged in the project activities.
- o Travel required for carrying out activities under the approved project.
- o Supplies, communications, and rental of equipment and space directly related to approved project activities.
- o Contracts for performance of activities under the approved project.

- Other such items necessary to support approved project activities so long as they are allowable under the applicable cost principles.

Funds cannot be used for the purchase or construction of a facility to house any portion of the proposed project. Any funds proposed to be utilized for renovation expenses must be detailed and linked directly to programmatic activities. Any lease arrangements in association with the proposed project utilizing PHS funds may not be funded by PHS beyond the project period nor may the portion of the space leased with PHS funds be used for purposes not supported by the program.

Alterations and Renovations

Costs for alterations and renovations (A&R) will be allowable only where such alterations and renovations are necessary for the success of the project. Also, consistent with the PHS Grants Policy Statement, the maximum amount of funds budgeted or used for A&R under a single grant during three consecutive budget periods (whether or not the 3 years overlap two distinct competitive segments of support) cannot exceed the lesser of $150,000 or 25 percent of the total funds reasonably expected to be awarded by PHS for direct costs for such 3-year period. (The maximum amount of PHS grant funds that may be applied to any single A&R project is $150,000.) Construction costs are never allowed.

Reporting Requirements

Interim and final progress reports and financial status reports will be required as specified in the PHS Grants Policy Statement requirements.

In order for SAMHSA to meet its statutory requirements under the Government Performance and Results Act (GPRA), every grantee (contractor) who engages in knowledge application activities will be required to use a standardized data collection approach designed to document the number and types of activities engaged in and assess the percent of those activities that resulted in positive changes. Information on the required data collection will be provided to awardees by the project officer.

Lobbying Prohibitions

Appropriated funds may not be used, other than for normal and recognized executive-legislative relationships, for lobbying the Congress or State legislatures. Specifically, Federal law prohibits the use of appropriated funds for publicity or propaganda purposes or for the preparation, distribution, or use of information designed to support or defeat legislation pending before the Congress or State legislatures. This has been construed to include "grass roots" lobbying, which consists of appeals to members of the public suggesting that they contact their elected representatives to indicate their support for or opposition to pending legislation, or to urge those representatives to vote in a particular way. This prohibition applies not only to Federal agencies, but also prohibits grantees and contractors of Federal agencies from using Federal funds to conduct such activities. In addition to "grass roots" lobbying, Federal grantees are prohibited from using Federal funds to conduct any direct lobbying activities. This includes any activities designed to influence legislation appropriations pending before the Congress or any State legislature.

APPENDICES

APPENDIX A

INSTRUCTIONS FOR COMPLETING NEW APPLICATION FOR FEDERAL ASSISTANCE STANDARD FORM 424 (Rev. 4/88)

Standard Form (SF) 424, "Application for Federal Assistance," is also known as the "Face Page" of the PHS Grant Application Form 5161-1 (Rev. 5/96). The following instructions replace those found on the reverse side of the SF 424.

Block 1. **Type of Submission:** Under "Application" check "Non-Construction". Under "Preapplication" leave both boxes blank.

Block 2. **DATE SUBMITTED:** Insert the date the application is sent to the State or the Federal agency.

-- **Applicant Identifier:** Insert the applicant's control number (if applicable).

Block 3. **(State Use Only.) DATE RECEIVED BY STATE:** (if applicable).

-- **State Application Identifier:** Insert the applicant's control number (if applicable).

Block 4. **(Federal Use Only.) DATE RECEIVED BY FEDERAL AGENCY:** Leave this block blank.

-- **Federal Identifier:** Leave this block blank.

Block 5. **APPLICANT INFORMATION:**

-- **Legal Name:** Insert the legal name of the applicant organization.

-- **Organizational Unit:** Insert the name of the primary organizational unit which will undertake the proposed activity.

-- **Address:** Insert the complete mailing address of the applicant organization.

-- **Name and telephone number of the person to be contacted on matters involving this application (give area code):** Insert the name, area code and telephone and FAX numbers and an E-mail/Internet address (if available) for the project director/principal investigator. Project director/principal investigator is defined as an employee of the applicant organization who will direct the grant. **NOTE: <u>This individual must be the same person identified in the right-hand block of Part C of the Checklist in the PHS Grant Application Form 5161-1. This is the individual responsible for directing the proposed program or project. (This is usually not the authorized representative as defined in Block 18.)</u>**

Block 6. **EMPLOYER IDENTIFICATION NUMBER (EIN)**: Insert the 9-digit EIN as assigned by the Internal Revenue Service.

Block 7. **TYPE OF APPLICANT:** Insert the appropriate letter in the box provided. (Non-profit applicant organizations should be identified as such under N. Other.)

Block 8. **TYPE OF APPLICATION:** Check "New."

Block 9. **NAME OF FEDERAL AGENCY:** Insert SAMHSA and the specific Center (either CMHS, CSAP or CSAT) from which support is being requested.

Block 10 **CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER:** Insert the CFDA number that is provided on the cover page of the GFA.

-- Title: Insert the GFA number and the short title of the GFA. (Refer to the Application Procedures section of the GFA.)

Block 11. **DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:** Insert a brief descriptive title of the proposed project. <u>Do not exceed</u> 56 typewritten spaces, including spaces between words and all punctuation. A new application must have a different title from any other PHS project with the same project director/principal investigator.

Block 12. **AREAS AFFECTED BY PROJECT:** Insert the name of the largest political jurisdictions affected (e.g., the name of the specific State, counties, cities).

Block 13. **PROPOSED PROJECT:** Leave the Start and Ending Date blocks blank. These dates will be determined if the project is funded.

Block 14. **CONGRESSIONAL DISTRICTS OF:**

-- **a.** **Applicant:** Insert the applicant organization's Congressional District.

-- **b.** **Project:** Insert any Congressional District(s) directly affected by the project.

Block 15. ESTIMATED FUNDING:

-- **a.** **Federal:** Insert the total amount of **direct** costs being requested from SAMHSA under this GFA for the **first 12-month period** of support. (This figure should be the same amount as that indicated on Form 424A, Section B, column (1) line 6.i.)

-- **b.-e.** **Applicant, State, Local, Other:** Insert the amount to be contributed and/or the value of in-kind contributions for the first 12-month period of support by each contributor (i.e., Applicant, State, Local, Other), as appropriate. [These figures should be the same amounts as those indicated on Form 424A, Section C, line 12, columns (b), (c), and (d)].

--**f.** **Program Income:** Insert the amount of Program Income anticipated to be earned by the grantee for the first 12-month period of support, if any. (This figure should be the same amount as that indicated on Form 424A, Section B, line 7, column (1).

Program income is defined as income earned by a grantee from activities part or all of the cost of which is borne as a direct cost by a grant **or** income that would not have occurred except for the existence of the grant supported project. Examples of program income are: fees for services supported with grant funds such as laboratory drug testing, rental or usage fees for use of equipment purchased with grant funds, third-party patient reimbursement where such reimbursement occurs because of the grant-supported activity (including Medicaid/Medicare), sale of commodities such as educational materials (including curricula) developed under the grant or equipment purchased with grant funds. Not included would be revenues raised by a government recipient under its governing powers, interest on grant funds, rebates, credits, discounts, or refunds, results of fund raising (given that no grant funds were used to accomplish the fund raising activity) and income earned by procurement contractors under a procurement contract awarded by the grantee.

-- **g.** **TOTAL:** Insert the total of lines 15a through 15f.

Block 16. **IS APPLICATION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?** Applicants should refer to the GFA to determine if the program is covered by the Federal Executive Order (E.O.) 12372. If the program is covered, applicants should refer to the listing of those States that currently participate in the E.O. 12372 process. This listing is provided in the application kit. If your State does participate, you should communicate with the State Single Point of Contact (SPOC) to ascertain whether this program has/has not been selected for review by the State. Based on answers to the above, the appropriate sections of Block 16 should be completed.

> **Note: If this program is covered by E.O. 12372, applications must be made available for State review, and the applicant should advise the State to submit comments within 60 days of the application receipt date to the individual identified in the GFA, under the E.O. 12372 section**.

Block 17. **IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?** This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.

Block 18.

-- **a., b. and c.:** Insert the name, title, area code and telephone number of the authorized representative of the applicant organization in the spaces provided.

> **Note: The authorized representative is the individual with the legal authority to obligate the applicant organization financially and otherwise.**

-- **d. and e.:** The authorized representative is required to sign and date the application in the spaces provided.

APPENDIX B

INSTRUCTIONS FOR COMPLETING
BUDGET INFORMATION -- Non-Construction Programs
Standard Form 424A (Rev. 4/88)

Standard Form (SF) 424A, "Budget Information -- Non-Construction Programs," is a double-sided form composed of Sections A through F. Because the 424A is a generic form that was designed to be used by agencies across the Federal Government, the instructions have been adapted for use by SAMHSA. **The following instructions replace those found immediately following the SF 424A.**

SECTION A - BUDGET SUMMARY - Leave this section blank.

SECTION B - BUDGET CATEGORIES

> **NOTE: The budget indicated in Section B should include only the funds that are requested from SAMHSA for the first budget period (i.e., the first 12 months) of the proposed project. If funds for the project are also being provided, or requested, from other sources, such funds should not be included in the budget indicated in this section.**
>
> **Complete only column (1), lines 6a through 6k (as applicable) and line 7.**

1. In **Section B**, column **(1),** lines **6a-6h**, insert the dollars requested from SAMHSA for all Object Class Categories, for the first 12-month budget period. Because there is no separate Object Class Category for "consultant costs," include any "consultant costs" in the "Other" Object Class Category (line **6h**). If the GFA does not specify that alteration and renovation costs will not be paid, necessary alternation and renovation costs may be entered under line **6g** by crossing out "Construction" and typing in "Alteration and Renovation." Cost breakout and description of proposed alteration and renovation should be included in the budget justification. (Construction costs are not allowable.)

> **NOTE: A detailed line-item budget computation and justification should be provided on a separate page(s) for all object class categories. A sample detailed line-item budget computation and justification is attached as EXAMPLE A.**

In column **(1)**, line **6i Total Direct Charges (sum of 6a-6h)**, insert the sum of lines **6a-6h**.

In column **(1)**, line **6j Indirect Charges**, insert the amount of indirect costs if these costs are being requested and your organization has negotiated an indirect cost rate with an agency of the Federal Government. Also submit a copy of notice of your organization's most current indirect cost rate agreement to substantiate your request. Failure to submit a copy of this notice may result in delay of any possible award.

If an indirect cost rate has not been established, insert "0" in column **(1)**, line **6j**. In order to recover allowable indirect costs of a project, it may be necessary to negotiate and establish an indirect cost rate (unless such a rate has already been established for the applicant organization). For information and assistance regarding the timing and submission of an indirect cost rate proposal, applicants, except for-profit organizations, should contact the appropriate office of the DHHS Division of Cost Allocation referenced in the list of "Offices Negotiating Indirect Costs Rates," provided in the application kit. For-profit organizations should contact the Grants Management Officer listed in the GFA. A note that the applicant organization either waives or will negotiate, within 90 days after grant award issuance, and establish an indirect cost rate with the appropriate office of the DHHS Division of Cost Allocation should be included in the detailed line-item budget computation and justification.

In column **(1),** line **6k. TOTALS (sum of 6i and 6j)**, insert the total of lines 6i and 6j.

2. In **Section B**, column **(1)**, line **7 Program Income**, if applicable, insert any program income anticipated to be generated during the proposed first 12-month budget period. See Appendix A, Item 15f, for the definition of program income.

3. Leave the remaining columns, **(2)** through **(5)** in **Section B** blank.

SECTION C - NON-FEDERAL RESOURCES

1. In **Section C**, line **12**, columns **(b) Applicant**, **(c) State**, and **(d) Other Sources**, insert any funds to be contributed to the project by these entities for the first 12-month budget period. (Leave lines **8-11** blank.)

2. In **Section C**, line **12**, column **(e) TOTALS**, insert the total of line **12**, columns **(b)-(d)**, if any.

SECTION D - FORECASTED CASH NEEDS - Leave this section blank.

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT - This section should reflect the proposed <u>**direct**</u> cost budgets for years 2 - 5. However, unless the GFA states that projects may be funded beyond 3 years, proposed direct costs should be provided for years 2 and 3 only. The totals should be derived from the detailed line-item budget computation and justification for future year direct costs. (A sample is provided as EXAMPLE A.)

1. **Section E**, line **20 TOTALS (sum of lines 16-19)**, column **(b) First** represents the <u>**second**</u> 12-month period (02 Period). Insert the total FEDERAL <u>**direct**</u> cost dollars requested for **all**

object class categories for this second year.

2. **Section E**, line **20**, column **(c) Second** represents the **<u>third</u>** 12-month period (03 Period). Enter the total FEDERAL **<u>direct</u>** cost dollars requested for **all** object class categories for this third year.

3. **Section E**, line **20**, column **(d) Third**. Leave blank unless the GFA states that projects may be funded for up to 4 years.

4. **Section E**, line **20**, column **(e) Fourth**. Leave blank unless the GFA states that projects may be funded for up to 5 years.

SECTION F - OTHER BUDGET INFORMATION - Leave this section blank.

EXAMPLE A

ILLUSTRATION OF DETAILED WORKSHEET FOR COMPLETING
SF 424A: SECTION B FOR 01 BUDGET PERIOD

OBJECT CLASS CATEGORIES

Personnel

Job Title	Name	Annual Salary	Level of Effort	Salary being Requested
Project Director	J. Doe	30,000	1.0	$ 30,000
Secretary	Unnamed	18,000	0.5	9,000
Counselor	R. Down	25,000	1.0	25,000

Enter subtotal on 424A, Section B, 6.a. **64,000**

Fringe Benefits (24%) **424A, Section B, 6.b.** **15,360**

Travel

2 trips for SAMHSA Meetings for 2 Attendees (airfare @ $600 x 4 = $2,400) + (per diem @ $120 x 4 x 6 days = $2,880)	5,280
Local Travel (500 miles x .24 per mile)	120

Enter subtotal on 424A, Section B, 6.c. **5,400**

Equipment (List Individually)

"Equipment" means an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost which equals the lesser of (a) the capitalization level established by the governmental unit or nongovernmental applicant for financial statement purposes, or (b) $5000.

Enter subtotal on 424A, Section B, 6.d.

Supplies

Office Supplies	500
Computer Software - 1 WordPerfect	500

Enter subtotal on 424A, Section B, 6.e. **1,000**

Contractual

Evaluation				
Evaluator J. Wilson	0.5	$24,000		
Other Staff	1.0	18,000		
Fringe Benefits (25%)		10,500		
Travel (2 trips x 1 Evaluator ($600 x 2 = $1,200)+(per diem @ $120 x 6 = $720)		1,920		
Supplies (General Office)		500		
Evaluation Subtotal			54,920	
Indirect Costs (19%) (Copy of negotiated rate agreement attached)			10,435	
Training				
Personnel				
Coordinator M. Smith	0.5	12,000		
Admin.Assist. N. Jones	0.5	9,000		
Fringe Benefits (25%)		5,250		
Travel				
2 Trips for Training				
Airfare @ $600 x 2		1,200		
Per Diem $120 x 2 x 2 days		480		
Local (500 miles x .24/mile)		120		
Supplies				
Office Supplies		500		
Software (WordPerfect)		500		
Other				
Rent (500 Sq. Ft. x $9.95)		4,975		
Telephone		500		
Maintenance (e.g., Van)		2,500		
Audit		3,000		
Training			40,025	
Enter subtotal on 424A, Section B, 6.f.				**105,380**

<u>Other</u>

Consultants = Expert @ $250/day X 6 day (If expert is known, should list by name)	1,500

Enter subtotal on 424A, Section B, 6.h. **1,500**

Total Direct Charges (sum of 6.a-6.h)

Enter Total Direct on 424A, Section B, 6.i. **$192,640**

Indirect Costs

15% of Salary and Wages (copy of negotiated indirect
cost rate agreement attached)

Enter subtotal of 424A, Section B, 6.j. **9,600**

TOTALS

Enter TOTAL on 424A, Section B, 6.k. **$202,240**

JUSTIFICATION

PERSONNEL - Describe the role and responsibilities of each position.

FRINGE BENEFITS - List all components of the fringe benefit rate.

EQUIPMENT - List equipment and describe the need and the purpose of the equipment in relation to the proposed project.

SUPPLIES - Generally self explanatory; however, if not, describe need. Include explanation of how the cost has been estimated.

TRAVEL - Explain need for all travel other than that required by SAMHSA.

CONTRACTURAL COSTS - Explain the need for each contractural arrangment and how these components relate to the overall project.

OTHER - Generally self explanatory. If consultants are included in this category, explain the need and how the consultants's rate has been determined.

If your organization has no indirect cost rate, please indicate whether your organization plans to a) waive indirect costs if an award is issued, or b) negotiate and establish an indirect cost rate with DHHS within 90 days of award issuance.

CALCULATION OF FUTURE BUDGET PERIODS
(Based on first 12-month budget period)

Review and verify the accuracy of future year budget estimates. Are any unusual increases or decreases in the future years explained/justified? Future year escalation is limited to the unusual increases or decreases only, no cost of living increase will be honored. (NOTE: new salary cap of $125,900 is effective for all FY 1999 awards.)

Personnel	First 12-month Period	Second 12-month Period	Third 12-month Period
Proj. Director	30,000	30,000	30,000
Secretary*	9,000	18,000	18,000
Counselor	25,000	25,000	25,000
TOTAL PERSONNEL	64,000	73,000	73,000

*Increased from 50% to 100% effort in 02 through 03 periods.

Fringe Benefits(24%)	15,360	17,520	17,520
Travel	5,400	5,400	5,400
Equipment	- 0 -	- 0 -	- 0 -
Supplies**	1,000	520	520

**Increased amount in 01 year represents costs for software.

Contractual			
Evaluation***	65,355	67,969	70,688
Training	40,025	40,025	40,025

***Increased amounts in -02 and 03 years are reflected of the increase in client data collection.

Other	1,500	1,500	1,500
Tot. Direct Costs	192,640	205,934	208,653
Indirect Costs (15% S&W)	9,600	10,950	10,950
TOTAL COSTS	202,240	216,884	219,603

The Federal dollars requested for all object class categories for the first 12-month period are entered on Form 424A, Section B, Column (1), lines 6a-6i.

The <u>total</u> Federal dollars requested for the second through the fifth 12-month periods are entered on Form 424A, Section E, columns (b) - (e), line 20. The GFA will specify the maximum number of years of support that may be requested.

APPENDIX C

CHECKLIST

A Checklist is provided in the PHS Grant Application Form 5161-1. The instructions within the Checklist are self-explanatory except for the following:

Part A:

4. Assurance of Compliance (Civil Rights, Handicapped Individuals, Sex Discrimination, Age Discrimination)

   Before a grant or cooperative agreement award can be made, a domestic applicant organization must certify that it has filed with the DHHS Office for Civil Rights: an Assurance of Compliance (Form HHS 690) with Title VI of the Civil Rights Act of 1964 (P.L. 88-352, as amended), which prohibits discrimination on the basis of race, color, or national origin; Section 504 of the Rehabilitation Act of 1973 (P.L. 93-112, as amended), which prohibits discrimination on the basis of handicaps; Title IX of the Education Amendments of 1972 (P.L. 92-318, as amended) which prohibits discrimination on the basis of sex; and the Age Discrimination Act of 1975 (P.L. 94-135), which prohibits discrimination on the basis of age. The Assurance of Compliance Form HHS 690 is included in the application kit. (Note: Assurance of Compliance Form HHS 690 is now used in lieu of individual assurances: Form HHS 441 - Civil Rights; Form HHS 641 - Handicapped Individuals; Form HHS 639-A - Sex Discrimination; and Form HHS 680 - Age Discrimination.)

   On the blank lines provided under Part A: 4., please indicate the date on which each of the assurances was filed by the applicant organization.

5. Human Subjects Certification, when applicable (45 CFR 46)

   Based on the information provided in the GFA, Part I. Programmatic Guidance, where SAMHSA has determined that projects funded under the GFA are subject to the requirements of 45 CFR Part 46, Protection of Human Subjects, applicants are required to indicate whether the Human Subjects Certification is included with the application.

   Where the SAMHSA Center Director has determined that projects funded under the GFA must meet SAMHSA Participant Protection (SPP) requirements, applicants must check the NOT applicable box.

PART B:

1. The Public Health System Impact Statement is applicable to some SAMHSA programs and must be completed and distributed where appropriate. See specific instructions in the GFA (Part I, Programmatic Guidance).

PART C:

1. The administrative official to be notified if an award is to be made may be the same as the authorized representative identified in Item 18 on the face page (SF 424) <u>or</u> may be the designated administrative/business official of the applicant organization.

   The official Notice of Grant Award will be mailed to the administrative official named in Part C.

2. If the applicant organization has already been assigned a modified EIN number because of receipt of another grant from the Department of Health and Human Services (DHHS), include the complete 12-digit number (1-digit prefix, 9-digit EIN, 2-digit suffix). Leave blank if the applicant organization has never been assigned a modified number from the DHHS.

3. The individual designated to direct the project must be the same as the individual identified in Item 5 on the face page of the application.

APPENDIX D

GUIDELINES FOR ASSESSING CULTURAL COMPETENCE

- **Experience or track record of involvement with the target population -** The applicant organization should have a documented history of positive programmatic involvement with the population/community to be served; e.g., a history of involvement with the target population or community.

- **Training and staffing -** The staff of the organization should have training in gender/age/cultural competence. Attention should be placed on staffing the initiative with people who are familiar with, or who are themselves members of, the population/community.

- **Language -** If an organization is providing services to a multi-linguistic population, there should be multi-linguistic resources, including use of skilled bilingual and bicultural individuals whenever a significant percentage of the target population/community is more comfortable with a language other than English.

- **Materials -** It should be demonstrated that material and products such as audio-visual materials, PSA's, training guides and print materials to be used in the project are gender/age/culturally appropriate or will be made consistent with the population/community to be served.

- **Evaluation -** Program evaluation methods and instrument(s) should be appropriate to the population/community being served. There should be rationale for the use of the evaluation instrument(s) that are chosen, and the rationale should include a discussion of the validity of the instrument(s) in terms of the gender/age/culture of the group(s) targeted. The evaluators should be sensitized to the culture and familiar with the gender/age/culture whenever possible and practical.

- **Community representation -** The population/community targeted to receive services should be a planned participant in all phases of program design. There should be an established mechanism to provide members, reflective of the target group to be served, with opportunities to influence and help shape the project's proposed activities and interventions. A community advisory council or board of directors of the organizations (with legitimate and working agreements) with decision-making authority should be established to affect the course and direction of the proposed project. Members of the targeted group should be represented on the council/board.

- **Implementation -** There should be objective evidence/indicators in the application that the applicant organization understands the cultural aspects of the community that will contribute to the program's success and which will avoid pitfalls.

* These guidelines were taken from a Center for Substance Abuse Prevention publication, <u>The Fact Is...,</u> February 1993.